

Elementary and Secondary School Counseling Program Grant Competition

(CFDA # 84.215E)

Information and Application Procedures for Fiscal Year 2010
OMB No. 1894-0006 Expiration Date: 09/30/2011

Application Deadline: February 26, 2010



Frequently Asked Questions
Pages 33-41

U.S. Department of Education

Office of Safe and Drug-Free Schools

<http://www.ed.gov/osdfs>



UNITED STATES DEPARTMENT OF EDUCATION

Office of Safe and Drug-Free Schools

January 12, 2010

Dear Colleague:

Thank you for your interest in the Elementary and Secondary School Counseling program (84.215E) administered by the U.S. Department of Education's Office of Safe and Drug-Free Schools.

This grant competition will provide funds to local educational agencies (LEAs), including charter schools that qualify as an LEA, to enable schools to develop promising and innovative approaches for initiating or expanding counseling programs in elementary and secondary schools. Each grant project will contribute to the personal growth, educational development, and the social-emotional well-being of students at this critical time in their lives.

We look forward to receiving your application for support under the Elementary and Secondary School Counseling program (ESSC). Thank you for your interest in this important effort.

Sincerely,

/s/

Kevin Jennings
Assistant Deputy Secretary

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ESSC Grant Fast Facts:

Eligible Applicants: Local educational agencies (LEAs), i.e., public school districts, including charter schools that are considered LEAs under State law that do not have an active grant under this program (CFDA 84.215E), and consortia thereof.

Purpose: The purpose of the Elementary and Secondary School Counseling program is to support efforts by LEAs to establish or expand elementary and secondary school counseling programs.

Application Deadline Date: February 26, 2010

Application Submission: Applications may be submitted electronically via e-Application or in hard copy.

Project Period: Up to 36 months

Estimated Available Funds: \$15,437,591

Estimated Average Size of Awards: \$350,000

Maximum Award: \$400,000 per year (for each year of funding requested)

Estimated Number of Awards: 44

Competition Manager: Loretta McDaniel
Email address: loretta.mcdaniel@ed.gov
Telephone: (202) 245-7870

APPLICATION SUBMISSION PROCEDURES

Application Transmittal Instructions

*Applications for grants under this grant competition may be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants System, or in paper format by mail or hand delivery. The electronic submission of applications is voluntary. However, if you choose to submit your application electronically, you must use the site listed below. **Note:** You may not submit your application by e-mail or facsimile.*

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing this grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.

The competition deadline for the Elementary and Secondary School Counseling program is February 26, 2010. If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

Applications Submitted Electronically

If you choose to submit your application to us electronically, you must do so using e-Application, accessible through the Department's e-Grants portal page at: <http://e-Grants.ed.gov> by 4:30:00 p.m. (Washington, DC time) on the application deadline date.

For more information on using e-Application, please refer to the Notice Inviting Applications that was published in the Federal Register, the e-Application Submission Procedures and Tips document found in this application package instructions, and/or visit <http://e-Grants.ed.gov>.

You may access the electronic application for the Elementary and Secondary School Counseling program at the following websites: <http://e-Grants.ed.gov> or <http://www.ed.gov/programs/elseccounseling/index.html>.

Please note, if you are submitting your application electronically, the Department's e-Grants Web site will be unavailable from February 10-15, 2010 because of upgrades to our system. This means that you will not be able to work on-line to complete your forms or upload your narrative sections and submit your final application electronically to the Department during this time. You will have to wait until the system is available again on February 16, 2010 to do so. Our recommendation is that you download a copy of the application before February 10, 2010 so that you will have the information you need to work on developing your narrative sections while the system is unavailable. We will not grant an extension to the submission deadline because of the system unavailability during February 10-15, 2010.

Applications Sent by Mail

If you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: CFDA # 84.215E
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

To help expedite our review of your application, we appreciate you voluntarily including an additional copy of your application.

You must show proof of mailing consisting of one of the following:

- A legibly dated U.S. Postal Service postmark.
- A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- A dated shipping label, invoice, or receipt from a commercial carrier.
- Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

1. A private metered postmark.
2. A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

Applications Delivered by Commercial Carrier

Special Note: Due to disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; or U. S. Postal Service Express Mail) to transmit your application for this competition to the Department. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the mailing instructions under the appropriate delivery method.

You must mail the original and two copies of the application on or before the deadline date. To help expedite our review of your application, we would appreciate you voluntarily including an additional copy of your application. Applications that are delivered by commercial carrier, such as Federal Express, United Parcel Service, etc. should be mailed to:

U.S. Department of Education
Application Control Center
Attention: CFDA# 84.215E
LBJ Basement Level 1
400 Maryland Avenue, SW
Washington DC 20202 - 4260

Applications Delivered by Hand

You or your courier must hand deliver the original and two copies of your application by 4:30:00 p.m. (Washington, DC time) on or before the deadline date. To help expedite our review of your application, we would appreciate you voluntarily including an additional copy of your application.

Please hand deliver copies to:

U.S. Department of Education
Application Control Center
Attention: CFDA# 84.215E
550 12th Street, SW
Potomac Center Plaza - Room 7041
Washington, DC 20202 – 4260

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30:00 p.m. (Washington, DC time), except Saturdays, Sundays and Federal holidays.

e-APPLICATION SUBMISSION PROCEDURES AND TIPS FOR APPLICANTS

IMPORTANT – PLEASE READ FIRST

U.S Department of Education

e-Application Submission Procedures and Tips for Applications

To facilitate your use of e-Application, this document includes important application preparation and submission procedures you need to be aware of to ensure your application is received in a timely manner and accepted by the Department of Education. Please read and follow these step-by-step directions to create and submit your application.

ATTENTION: MICROSOFT VISTA and WORD 2007 USERS

You must submit your application in a .DOC (document), .RTF (rich text), .PDF (Portable Document) format in order for your application to submit successfully to the Department. If you submit your application in any other format, we will not be able to access your document. Also note if you are using Microsoft Word from the Vista Operating System, you will need to convert your document from a .DOCX to a .DOC file before you can submit.

PLEASE NOTE –

Applicants using the Department of Education's e-Application system will need to register first to access an application package. Forms in an application package are completed on line and narratives are uploaded while logged into the system. Therefore, allow sufficient time to complete your application before the closing date. If you have not used e-Application in the past, you may want to walk through the Demo available on the e-Application homepage. If you encounter difficulties, you may also contact the e-Grants help desk on 1-888-336-8930.

The following are steps you should follow to successfully complete an application with e-Application.

Step 1 – **Determine** if your program is accepting electronic applications. The Federal Register notice of each program will indicate whether the program is accepting e-Application as part of the Department's e-Application program. Here is a link to the Department's Federal Register notices:

<http://www.ed.gov/news/fedregister/announce/index.html>.

Additional information on the Department of Education's grant programs can be found at

<http://www.ed.gov/about/offices/list/ocfo/grants/grants.html>.

Step 2 – **Register in e-Application** to access the application package. If you are a new user, you will need to register to use e-Application. From the e-Grants Portal Page <http://e-grants.ed.gov/>, click on the continue button and click the register button on the right side of the next page. Select the e-Application module and click the next button. Please provide the requested information. Your e-Grants password will be sent to the e-mail address you provide. Once you receive the e-mail, enter your username and password and click the login button.

If you already have a username and password for e-Grants, use them to login. If you have access to more than one e-Grants module, you will be directed to select which module you wish to enter. Keep in mind that this username and password will be used for all e-Grants modules. In order to update your registration for additional e-Grants modules, click the appropriate tab on the top of the screen and provide the requested information.

Note the following browser compatibility problems. The site is viewed best in Internet Explorer 5. We currently support IE 5, Netscape 6.2, and Firefox 2.2 (along with later versions of IE, Netscape and Firefox). Please make sure that you have **Cookies** and **JavaScript** enabled in your browser.


Please note, if you are submitting your application electronically, the Department's e-Grants Web site will be unavailable from February 10-15, 2010 because of upgrades to our system. This means that you will not be able to work on-line to complete your forms or upload your narrative sections and submit your final application electronically to the Department during this time. You will have to wait until the system is available again on February 16, 2010 to do so. Our recommendation is that you download a copy of the application before February 10, 2010 so that you will have the information you need to work on developing your narrative sections while the system is unavailable. We will not grant an extension to the submission deadline because of the system unavailability during February 10-15, 2010.

Step 3 - Add Application Package to your Start Page. From your Start Page, click on the "Add" button to see the list of application packages. Click on a specific package link on the List of Application Packages to apply. The package will now appear on your Start Page. From this point forward, you will access your unique application from your Start Page (not the Packages Page).

Step 4 - Begin the Application. Click on the underlined Application Package Title on your Start Page. This brings you to a page where you will see all of the application's forms and narratives listed as underlined links.

Step 5 - Fill out Forms. Enter a form by clicking on the underlined form title in order to enter data. Remember to click the "Save" button at the bottom of the form and check the "Form Completed" box for each form as you complete it.

Step 6 - Upload File(s) for Narrative Responses. Click on an underlined narrative form title for the e-Application. Enter the title of the document, and click on the "Browse" button to locate your file. Remember to click the "Save" button after you upload the document and check the "Form Completed" box when you finish uploading your file(s). Please note for file uploads, we accept .doc, .rtf, and .pdf files only. If you are using Word 2007, please save your document in a lower version of Word before uploading into e-Application.

Step 7 - Verify Information/Print Application. Verify your information is complete and correct on all required forms and narratives. You have the option to print each form at any time by clicking on the print/view icon  next to the appropriate form. After submission of the forms and narratives, you have the option to print a complete e-Application package in PDF by clicking on the "Request Complete Package in PDF" on the e-Application PR/Award page. A second window will open informing you that your request has been received and that you will be notified via e-mail once it is available. This process can take anywhere from a few minutes to a few hours. Once you receive the e-mail, click on the link in the text of the message and enter your username and password in the new window. This will open the PDF file from which you can

view/print the entire package. In addition, a blank complete package in PDF will be accessible from the package page in e-Application.

Step 8 - Submit your Application. Only authorized individuals for your organization can submit an application. Please check with your Authorizing Representative or sponsored research office before submission. Click on the "Ready to submit" button at the bottom of your application. Enter and verify the Authorizing Representative information. Click the "Submit" button. You will receive an e-mail to confirm that your application was received, and it will include a unique application number. Please print and keep this e-mail for your records. [Reminder: applications must be submitted before 4:30:00 p.m., Washington, DC time, on the deadline date for applications. e-Application will not accept your application if you try to submit it after 4:30:00 on the deadline date.

Step 9 - Fax the signed SF 424 Cover Page (or Program Specific Cover Page). Write your unique application number (received in step 8) on the upper right corner of your printed SF 424 Cover Page (or Program Specific Cover Page), and fax it to the Competition Manager within 3 business days of submitting your e-Application.

NOTE: For more detailed information on submitting an e-Application, please see the **User Guide**. In addition, please try practicing with our e-Application Demo site by clicking on the Demo button found on the upper left corner of the e-Application Home Page. Both the User Guide and Demo can be found at <http://e-grants.ed.gov>.

Other Submission Tips

- 1) **SUBMIT EARLY - We strongly recommend that you do not wait until the last day to submit your application.** The time it takes to upload the narratives for your application will vary depending on a number of factors including the size of the files and the speed of your Internet connection. If you try to submit your application after 4:30:00 p.m., Washington, DC time on the deadline date, the e-Application system will not accept it.
- 2) If electronic submission is optional and you have problems that you are unable to resolve before the deadline date and time for electronic applications, please follow the transmittal instructions for hard copy applications in the Federal Register notice and get a hard copy application postmarked by midnight on the deadline date.

If electronic submission is required, you must submit an electronic application before 4:30:00 p.m., unless you follow the procedures in the Federal Register notice and qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. (See the Federal Register notice for detailed instructions.)

- 3) **Dial-Up Internet Connections** - When using a dial-up connection to upload and submit your application, it can take significantly longer than when you are connected to the Internet with a high-speed connection, e.g. cable modem/DSL/T1. While times will vary depending upon the size of your application, it can take a few minutes to a few hours to complete your grant submission using a dial-up connection. If you do not have access to a high-speed connection and electronic submission is required, you may want to consider following the instructions in the Federal Register notice to obtain an exception

to the electronic submission requirement no later than two weeks before the application deadline date. (See the Federal Register notice for detailed instructions.)

Attaching Files – Additional Tips

Please note the following tips related to attaching files to your application:

1. Ensure that you only attach the Education approved file types detailed in the Federal Register application notice (.doc, .pdf or .rtf). If using Word 2007, save your file to an earlier version of Word before uploading. Also, do not upload any password-protected files to your application.
2. When attaching files, applicants should limit the size of their file names. Lengthy file names could result in difficulties with opening and processing your application. We recommend you keep your file names to less than 50 characters. In addition, applicants should avoid including special characters in their file names (for example, %, *, /, etc.) Both of these conditions (lengthy file names and/or special characters including in the file names) could result in difficulties opening and processing a submitted application.
3. Applicants should limit the size of their file attachments. Documents submitted that contain graphics and/or scanned material often greatly increase the size of the file attachments and can result in difficulties opening the files. Please note that each file attachment in e-Application has a file size limitation, which is anywhere from 2 to 8 MB, and the limitation will be indicated on the individual screen when you upload a file. For reference, however, the average discretionary grant application package totals 1 to 2 MB. Therefore, you may want to check the size of your attachments before uploading them into e-Application.

PROGRAM BACKGROUND INFORMATION

General Information

Eligibility

This competition limits eligibility to local education agencies (LEAs), including charter schools that are considered LEAs under State law, that do not currently have an active elementary and/or secondary school counseling grant. A grant is considered active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds (71 FR 70369).

Authority

This grant program is authorized under Title V, Part D, Subpart 2, Section 5421 of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001 (PL 107-110).

Official Documents Notice

The official document governing this competition is the Notice Inviting Applications published in the Federal Register on January 12, 2010 (See Section III -- [Legal and Regulatory Documents] of this application package). This notice also is available electronically at the following Web sites: www.ed.gov/legislation/FedRegister and www.gpoaccess.gov/nara.

Applicants should clearly indicate in Block # 11 of the Standard Form 424, the CFDA number and alpha suffix for this competition (84.215E).

Project Period

The project period for these grants is up to 36 months (3 budget periods of 12 months each). The exact start date is not known at this time. We estimate awards will be announced by late June 2010. Projects will be funded for the first year with an option for two additional years contingent upon substantial progress by the grantee and the availability of future funds. **Note: Applicants must submit ED Form 524 and a detailed budget narrative for each budget period that funding is requested.**

Estimated Award Information

Section 5421(g)(1) of ESEA requires that if the amount of funds made available for this program equals or exceeds \$40,000,000, the Secretary shall award not less than \$40,000,000 to enable LEAs to establish or expand counseling programs in elementary schools. Therefore, if the amount available for this program in fiscal year (FY) 2010 exceeds \$40,000,000, amounts in excess of \$40,000,000 may be used for elementary or secondary school counseling programs or both.

Note: We will use the highest grade an applicant proposes to serve under its grant to determine if the application will be considered for funding from amounts available for elementary school counseling programs only or from amounts available for elementary or secondary school counseling programs (or both), along with the applicant State's law that defines what grade levels constitute an elementary school in the State.

We estimate we will make approximately 44 new awards. Projects will be funded for approximately \$250,000 to \$400,000 depending on the scope of work. These figures are only estimates and do not bind ED to a specific number of grants or amount of any grant. Contingent

upon the availability of funds and the quality of applications, we may make additional awards (or fund down the approved slate) in FY 2010 and FY 2011 based on the list of unfunded applications from this competition.

Maximum Award

Grants awarded under this program may not exceed \$400,000 for any fiscal year. Cost of living increases, indirect costs rate calculations, or other proposed costs cannot be used to exceed the maximum award cap of \$400,000 for each year of funding requested for a possible total award of \$1.2 million over 3 years of funding.

Supplement, Not Supplant

Funds made available under this program must be used to supplement and not supplant, other Federal, State, or local funds used for providing school-based counseling and mental health services to students.

Limitation on Administrative Costs

Not more than 4 percent of the grant award in any fiscal year may be used for administrative costs to carry out the program.

Matching Funds

This program does not require a matching contribution from the grantee, however, if you propose matching funds, we will monitor the grant to ensure the match is met and you will be expected to report annually on the matching funds as well as federal funds.

Project Director

Applicants must complete the Department of Education's Supplemental Information Form for the Standard Form 424 with the name of the person who will serve as the project director and indicate the percentage of the person's time that will be devoted to the grant, even if the person named will be temporarily assigned to the project.

Travel Budget

Applicants must budget funds for the project director and one additional staff member to attend the Office of Safe and Drug-Free Schools National Conference each year of the grant. For planning purposes, applicants should include funds for transportation, lodging for two nights and three days, and per diem costs. Also, applicants must budget funds for one person to attend the Project Director's Meeting in year one of the grant only. Applicants should include funds for transportation, lodging for one night, and per diem costs. There are no meeting or registration costs for our grantees. Both meetings will usually be held in Washington, DC.

E-Mail Addresses

As part of our review of your application, we may need to contact you with questions for clarification. Please be sure your application contains valid e-mail addresses for the project director and authorized representative or another party designated to answer questions in the event the project director and authorized representative are unavailable.

Application Due Date

All applications must be submitted on or before 4:30:00 p.m. on February 26, 2010. Applications for grants under this grant competition may be submitted electronically or in paper format by mail or hand delivery. The electronic submission of applications is voluntary. However, if you choose to submit your application electronically, you must use e-Application,

accessible through the Department's e-Grants portal page at: <http://e-Grants.ed.gov>. Applications may not be submitted by email or facsimile.

Please note, if you are submitting your application electronically, the Department's e-Grants Web site will be unavailable from February 10-15, 2010 because of upgrades to our system. This means that you will not be able to work on-line to complete your forms or upload your narrative sections and submit your final application electronically to the Department during this time. You will have to wait until the system is available again on February 16, 2010 to do so. Our recommendation is that you download a copy of the application before February 10, 2010 so that you will have the information you need to work on developing your narrative sections while the system is unavailable. We will not grant an extension to the submission deadline because of the system unavailability during February 10-15, 2010.

Review of Applications and Notification of Award

The review of applications and notification of awards for this grant competition requires approximately 8 to 10 weeks depending on the number of applications we receive. We expect to notify successful applicants by late June 2010. Unsuccessful applicants will be notified within 60 days after awards are announced.

Human Subjects Research Activities

Please see Item 3 of the instructions for Supplemental Information for Standard Form 424 in Section IV of this application package. Projects funded under this grant program may be subject to protection of human subjects research requirements. If you have any questions about your responsibilities under these requirements, please contact ED's protection of human subjects coordinator at 202-245-6153.

The U.S. Department of Education's Expectations

By submitting an application for this program, applicants agree to fully cooperate with any evaluation efforts conducted by ED and its contractors. At a minimum, grantees are expected to maintain records on how their program is operating; maintain records on the extent to which their program objectives are being met; include specific performance measures in their evaluation plan; and make ongoing project information, findings, and products available to ensure the dissemination of knowledge gained from this effort during the grant period.

Contracting for Services

Generally, all procurement transactions must be conducted in a manner providing full and open competition, consistent with the standards in Section 80.36 of EDGAR. This section requires that grantees use their own procurement procedures (which reflect state and local laws and regulations) to select contractors, provided that those procedures meet certain standards described in EDGAR, available online at www.ed.gov/policy/fund/reg/edgarReg/edgar.html.

Because grantees must use appropriate procurement procedures to select contractors, applicants should not include information in their grant applications about specific contractors that will be used to provide services for the proposed project.

Consistent with the limitations in Section 75.515 of EDGAR concerning the use of consultants, contractors or consultants may be used to help prepare grant applications, but their participation in the application development process should not be presumed to result in the receipt of a contract for work under the project if a grant is awarded. Applicants may include in their budget

a reasonable sum for costs to prepare the grant application. This sum should be based on an appropriate hourly rate of pay and may be charged only in the first year of the grant.

Resources

Any questions related to the requirements of this grant competition should be directed to Loretta McDaniel, U. S. Department of Education, Office of Safe and Drug-Free Schools at (phone) 202-245-7870 or (e-mail) loretta.mcdaniel@ed.gov.

For more information about the Elementary and Secondary School Counseling program, you can visit: <http://www.ed.gov/programs/elseccounseling/index.html>.

Tips for Preparing and Submitting an Application

1. Beginning the Application Process

- Read this application package in its entirety and make sure you follow all of the instructions.
- Use the tools we have provided to help you, including:
 - ✓ Frequently Asked Questions section in this application package.
 - ✓ Resources related to this specific grant competition on our Web site at <http://www.ed.gov/programs/elseccounseling/index.html>
 - ✓ General grant application technical assistance resources on our Web site at www.ed.gov/admins/grants/apply/techassist/index.html.
- If you do not understand an instruction or requirement, contact Loretta McDaniel, U.S. Department of Education, Office of Safe and Drug-Free Schools at 202-245-7870 or loretta.mcdaniel@ed.gov for information about this grant competition.

2. Preparing Your Application

- Organize your narrative according to the selection criteria headings and respond comprehensively.
- Be thorough in your responses. Write so that someone who knows nothing about your community and the proposed activities, curricula, programs, and services can understand what you are proposing and why.
- Make sure your budget provides sufficient itemization and detailed descriptions about planned expenditures so ED staff can easily determine how amounts were calculated.
- Link your planned expenditures to the proposed activities, curricula, programs, and services. Do not request funds for miscellaneous purposes. Make sure you demonstrate that your proposed expenditures are necessary to carry out your program.
- **Please note, if you are submitting your application electronically, the Department's e-Grants Web site will be unavailable from February 10-15, 2010 because of upgrades to our system. This means that you will not be able to work on-line to complete your forms or upload your narrative sections and submit your final application electronically to the Department during this time. You will have to wait until the system is available again on February 16, 2010 to do so. Our recommendation is that you download a copy of the application before February 10, 2010 so that you will have the information you need to work on developing your narrative sections while the system is unavailable. We will not grant an extension to the submission deadline because of the system unavailability during February 10-15, 2010.**

3. Submitting Your Application

- Use the checklist provided in this application package to ensure your application is complete before submitting it.
- Make sure all required forms are included and signed by an authorized representative of your organization.
- Transmit your application by the deadline date and time. If you submit your application electronically, you must use e-Application accessible through the Department's e-Grants portal page at: <http://e-Grants.ed.gov>. If you use the U.S. Postal Service, make sure you have a legible postmark date. If you use a commercial carrier, get a receipt.

4. What Happens Next?

- If you submit your application in paper format (by mail, commercial carrier, or hand delivery), you should receive a postcard in approximately 2 weeks (depending on the volume of applications that we receive) from ED's Application Control Center acknowledging receipt of your application and giving you its assigned number. If you do not receive this notification within 15 business days from the application deadline date, contact ED's Application Control Center at 202-245-6288 or via email at application.center@ed.gov for information.
- If you submit your application electronically, the PR/Award number will be generated automatically when you submit your application. Please refer to this PR/Award number if you need to contact us about your application.
- Staff members screen each application to ensure that all program eligibility requirements are met and that all forms are included and signed by the Authorized Representative.
- Your application will be assigned to a three-person panel of independent reviewers who will evaluate and score your proposal according to the selection criteria in this package. Your application will receive a score from 0 to 100, depending upon how well it addresses the selection criteria. Agency staff will award any appropriate competitive preference points. Competitive preference points will be in addition to points awarded by peer reviewers.
- A Grant Award Notification will be sent to applicants whose proposals rank high enough to be awarded a grant. Both successful and unsuccessful applicants will receive peer reviewers' comments approximately 6 to 8 weeks after grant awards are announced. Unsuccessful applicant also will receive a notification letter. Please be sure your application contains a valid mailing address for both the Project Director and the Authorized Representative so that reviewers' comments can be successfully delivered.

The Government Performance and Results Act (GPRA)

The Government Performance and Results Act of 1993 (GPRA) is designed to address problems identified by the Congress more than a decade ago, including lack of performance data that can be used both by federal program managers to improve program efficiency and effectiveness and by Congress to ensure that spending decisions and oversight are informed by information about program performance. GPRA seeks to improve public confidence in the capability of the federal government by systematically holding federal agencies accountable for achieving results, promote an increased focus on results and service quality, and help federal managers improve program quality.

As required by GPRA, the Department of Education (ED) has developed a strategic plan that reflects organizational priorities and integrates those with our mission and program authorities. We also have developed GPRA measures for the individual programs we administer, including Elementary and Secondary School Counseling program.

The GPRA measures for this program are:

- 1. The percentage of grantees closing the gap between their student/mental health professional ratios and the student/mental health professional ratios recommended by the statute.**
- 2. The average number of referrals per grant site for disciplinary reasons in schools participating in the program.**

The GPRA measures constitute the way in which the Department will measure the success of this initiative. Consequently, applicants for a grant under this program should give careful consideration to these measures in developing their projects, and particularly to how they will collect and report data for these measures. Grantees will be expected to collect and report data to the Department in their annual performance report and final performance reports (www.ed.gov/fund/grant/apply/appforms/ed524b_coverfill.pdf and www.ed.gov/fund/grant/apply/appforms/ed524b_statusfill.pdf). We will aggregate data provided by grantees for these GPRA measures and use these data for a variety of purposes, including developing future budget proposals and improving the performance of the program. We also will share this performance data with Congress, and may publish results from individual grants to illustrate how grant sites are making progress toward program objectives.

Applicants must provide baseline data for their GPRA measures as part of their application. Please use the most recent data available and indicate the year in which the data was collected. Below is a sample table for each GPRA measure. Applicants are encouraged to use the tables below to provide the required baseline data.

GPRA 1: The percentage of grantees closing the gap between their student/mental health professional ratios and the student/mental health professional ratios recommended by the statute.

Schools participating in the grant	Students enrolled (Baseline) (2008-2009)	Number of Child-adolescent psychiatrists (Baseline) (2008-2009)	Number of School Psychologists (Baseline) (2008-2009)	Number of School Counselors (Baseline) (2008-2009)	Number of School Social Workers (Baseline) (2008-2009)	Number of Other Qualified Mental Health Professionals, if any (Baseline) (2008-2009)
XYZ Elementary	275	0 FTE	1.0 FTE	0 FTE	0 FTE	0 FTE
ABC Elementary	350	0.5	0.5 FTE	1.5 FTE	0 FTE	0 FTE
JKL Elementary	535	1	0.5 FTE	1.0 FTE	0 FTE	0 FTE
TOTAL	1,160	1.5 FTE	2.0 FTE	2.5 FTE	0 FTE	0 FTE

GPRA 2: The average number of referrals per grant site for disciplinary reasons in schools participating in the program.

Schools participating in the grant	Number of students Enrolled (Baseline) (2008-2009)	Number of referrals for disciplinary reasons in schools participating in the grant (Baseline) (2008-2009)
XYZ Elementary	475	221
ABC Elementary	350	45
JKL Elementary	535	163
TOTAL	1,360	429

Note: Baseline number of referrals for disciplinary reasons

- The number of referrals for disciplinary reasons must include all incidents in which a student was referred to school personnel (including, but not limited to, the principal, the vice principal, school security, and guidance counselors) for violations of the school's discipline code.
- The number reported must be the number of referrals for disciplinary reasons, **not** the number of students referred or the number of disciplinary actions taken.
- The number reported must include all referrals for the entire 2008-09 school year.

- The number reported must include all referrals from all schools targeted for grant services. Do not include referrals from schools not targeted for grant services.
- The number reported must include all referrals from all grades in schools targeted for grant services.

Background and Introduction

From time to time, all children face challenges that can affect their learning and behavior. As such, when they arrive at school, some students also bring with them concerns such as stress over academics and grades, concerns about relationships with family, friends, or teachers, bullying or harassment, and/or more serious behavioral, health, or safety concerns. Moreover, during the course of their school years, it is estimated that one in five children and adolescents will experience a significant mental health problem.¹ While school systems are not responsible for meeting every need of their students, schools must meet the challenge when the need directly affects learning as these do.

Growing evidence shows that school-based initiatives to promote mental health can help students cope with these common issues, support healthy development, and improve educational outcomes.² To address barriers to learning, schools need to integrate resources into a comprehensive, cohesive continuum of support that promotes healthy, positive youth development and prevents problems, allows for early intervention to address problems as soon after onset and provides assistance to those with more chronic and severe problems.³ To be truly effective and sustainable, it is recommended that school-based mental health services be linked to existing organizational structures in the school, coordinated with community-based resources to extend the continuum of care available to address more severe and acute needs, and evaluated based on data. Using a “public health framework,” these initiatives would encompass the development of multi-layered approaches, interventions, and services that address the continuum of student needs, including primary prevention and education, screening and detection, treatment, follow-up and crisis services, as well as case and systems management as necessary. The framework considers a variety of intervention points for meeting student needs, such as, policies around behavior and discipline, classroom management practices, protocols for referrals for screening and service provision, the manner in which students receive an array of supporting services, and efforts to ensure that all approaches and interventions undertaken are coordinated, culturally, linguistically, and developmentally appropriate, and evidence-based.

Building Protective Factors: Positive Youth Development

Positive Youth Development is an approach that seeks to provide interactions and opportunities for youth to develop strong relationships, practice leadership skills, and develop self-efficacy skills. This strength-based approach, geared to address all students in a school, also seeks to build “protective factors,” which help children’s long-term capacity for positive behavior, social competency, academic achievement and emotional well being.⁴ Generally, there are several objectives of building these protective factors:

- Promote bonding;
- Foster resilience;

1 U.S. Department of Health and Human Services. (1999). Mental Health: A report of the surgeon general. Executive summary. Rockville, MD: National Institute of Mental Health.

2 Fleming, CB, Haggerty, KP, Brown, EC, Catalano, RF, Harachi, TW, Mazza, JJ, & Gruman, DH. Do social and behavioral characteristics targeted by preventive interventions predict standardized test scores and grades? 2005; *Journal of School Health* (75), 342-349.

3 Adelman, HA, & Taylor, L. (2006). The current status of mental health in schools: A policy and practice brief. UCLA School Mental Health Project; Los Angeles, CA.

4Catalano, R, Berglund, ML, Ryan, J, Lonczak, HM & Hawkins, J. Positive Youth Development in the United States: Research findings on Positive Youth Development programs. 2004; *Annual of the American Academy of Political and Social Sciences* (591): 98-124.

- Promote social competence;
- Promote emotional competence;
- Promote cognitive competence;
- Promote behavioral competence;
- Promote moral competence;
- Foster self-determination;
- Foster spirituality;
- Foster self-efficacy;
- Foster clear and positive identity;
- Foster belief in the future;
- Provide recognition for positive behavior;
- Provide opportunities for prosocial involvement; and
- Foster prosocial norms.⁵

There is an inverse relationship between protective factors and risk factors; students with more protective factors tend to engage in fewer of the risky behaviors that can limit a student's academic potential.⁶ By helping develop and implement appropriate strategies for building protective factors, schools can begin to promote and enhance positive mental health of students. Because this approach does not rely on the implementation of a single program or strategy, multiple methods and changes to policy and practices can be combined based on site-specific resources and needs to alter the school's overall functioning to promote positive youth development. Additionally, this approach focuses on the student's whole person, rather than one protective or risk factor at a time. As a result, the school can undertake a more comprehensive and complex system of support. Mental health professionals play a critical role in establishing, implementing, and evaluating these essential tasks.

Addressing Mental Health Problems: Prevention, Detection, Intervention, and Treatment

Changing policies, practices, and behaviors in a school can take a long time. And despite the best efforts of schools to enhance the social, emotional, behavioral and cognitive competencies of students, students sometimes still develop mental health problems, including depression, stress, or anxiety. Although most students will not develop serious diagnosable disorders, 30% of students currently report feeling so sad and hopeless that they stopped some of their normal activities for two weeks in a row in the previous year.⁷ For those students, school staff should be prepared to recognize and help students before symptoms become more severe.

To adequately address the mental health needs of students, schools must implement policies and practices to facilitate the early detection of problems and plans for helping students address their needs. Teachers and staff need to be trained to recognize early warning signs and symptoms of mental health problems, and know how to help students access services. A range of evidence-based tools exist that target individual, group, and systems-level detection of mental health concerns; school-based mental health professionals can be instrumental helping teachers and staff understand and use tools, and to link to services within the school and/or community.

5 Ibid.

6 Benson, P. Scales, P., Hamilton S, et al. Positive Youth Development so far: Core hypotheses and their implications for policy and practice. Search Institute Insights and Evidence. 2006; 3(1).

7 Centers for Disease Control and Prevention. Youth Risk Behavior Survey. 2007; accessed at: <http://www.cdc.gov/healthyyouth>.

If a problem is detected, schools must be prepared to respond to students' more acute needs and potential crises, and refer them to qualified professional staff. It is estimated that between 14-20% of young people suffer from a mental, emotional, or behavioral disorder that impairs their everyday functioning.⁸ Additionally, many children have more than one disorder.⁹ Because many disorders manifest during childhood and adolescence-- the majority of adults with mental health issues experienced their first onset well before adulthood--schools are an ideal intervention point and can help prevent the development and progression of mental, emotional or behavioral disorders.¹⁰ As such, schools should understand how to refer students for more serious treatment options and should be able to identify culturally competent and linguistically-appropriate service delivery mechanisms and professionals.

The Importance of Culture Competence and Linguistic Appropriateness

We live in a society composed of many cultural groups with different values and identities. Students' behavior and needs can only be fully understood and addressed in the context of their families, communities, and culture. These different contexts have a deep impact on students and schools, as the variety of cultures intersect in this setting. According to the National Center for Cultural Competence, organizations should develop programs and policies that reflect a value system that can understand and appreciate diversity; conduct a self-assessment; manage the dynamics of difference; acquire and institutionalize cultural knowledge; and adapt to the diversity and cultural contexts of the individuals and communities served.¹¹ Cultural competence recognizes and focuses on the values and mores of a group who share "...an integrated pattern of human behavior that includes thoughts, communications, languages, practices, beliefs, values, customs, courtesies, rituals, matters of interacting and roles, relationships, and expected behaviors...",¹² as well as sensitivities about how that group may differ from the service providers or others within a school setting. For many years, cultural competence has centered on understandings of race or heritage but this growing discipline has broadened to consider factors such as gender, age, disability, sexual orientation, socioeconomic status, or country of origin, as well as the interplay of all of these discrete cultural definitions. Programs must be re-tooled to more effectively develop cross-cultural capabilities, including the inclusion of cultural competency as a capacity building tool for teacher training and student learning.

Linguistic competence or appropriateness allows institutions and its agents to communicate effectively with their audience in a manner that is not only easily understood but relevant and meaningful for that audience. This would not only include the ability to translate from English into other languages, but also to ensure that alternate formats are considered, and ensure that the information being conveyed can be understood and acted upon.¹³

8 Puura, K, Almqvist, F., Tamminen, T. et al. Children with symptoms of depressions- What do the adults see? *Journal of Psychology and Psychiatry*; 1998, 39(4): 577-585.

9 National Research Council and Institute of Medicine (2009). *Preventing Mental, Emotional, and Behavioral Disorders Among Young People: Progress and Possibilities*. Committee on the Prevention of Mental Disorders and Substance Abuse Among Children, Youth and Young Adults: Research Advances and Promising Interventions. Washington, DC: The National Academies Press.

10 Ibid.

11 National Center for Cultural Competence, Georgetown University Center for Child and Human Development. Accessed at: <http://www11.georgetown.edu/research/gucchd/nccc/foundations/frameworks.html>.

12 Ibid. This definition is also used by the National Association of School Psychologists, accessed at online at <http://www.nasponline.org>.

13 Ibid.

Students and their families should always be at the center of any approach or service delivery model implemented by schools. In so doing, the school setting can become a trusted partner in the growth and development of the student, and can provide developmentally appropriate support to foster positive youth development and academic achievement. Cultural competence and linguistic appropriateness should be embedded in all organizational, practice, and service design approaches. Although there is no one method for integrating cultural competence and linguistic appropriateness into programming, the following are some initial steps:

- Developing self-assessment tools that are appropriate for the LEA or schools to be served by the grant, which include an examination of organizational policies and practices regarding staff training and delivery of services for the diverse student population and using results to identify potential gaps and weaknesses in the delivery and practices of those policies;
- Making an inventory of available resources for professional expertise and for knowledge of local communities;
- Linking with parents, community and other key stakeholders to obtain input and develop intervention strategies that would help schools address gaps and weaknesses in the current delivery system in meeting the needs of a diverse student population; and
- Evaluating the outcome and incorporating the results into sustainability plans.

The Role of the School Mental Health Professional

Serving the vast needs of students requires a comprehensive and integrated team of school professionals, from teachers, to administrators, to school mental health professionals to support the academic, social, emotional and behavioral development of all students. “School mental health professionals,” in the context of the Elementary and Secondary School Counseling program (ESSC), includes school counselors, school psychologists, child and adolescent psychiatrists, school social workers, or other qualified psychologists.¹⁴ These critical members of the school staff enhance students’ ability to achieve their full academic, developmental, and social potential by providing support to students, families and educators working with them. School-employed mental health professionals provide direct and indirect services for students, families and staff¹⁵ and also spend time in program management working to develop school-wide policies and practices to promote learning and mental health and build protective factors for youth, create systems and infrastructure for screening, detection, targeted interventions, meeting acute mental health needs of students, and managing service delivery decisions based on site needs and student data. Mental health professionals play an important role in a school’s data collection and analysis efforts to enhance data-based, responsive decision making and accountability and illustrate the connections between academic performance and social, emotional and behavioral well-being.

¹⁴ As defined in the ESSC statute.

¹⁵ Although professional standards differ, the American School Counselor Association suggests that school counselors spend 80% of their time in direct service to students, families and staff distributed across a range of service components that include but are not limited to school-wide educative and preventive interventions, small group and targeted individual interventions, crisis response, consultation with parents, teachers and other educators, advocacy within schools and with community partners, professional development and training of school staff in areas of concern to the school system. The National Association of School Psychologists and the School Social Work Association of America outline similar models for comprehensive and integrated service delivery.

The ESSC Program

Since fiscal year 2000, the Elementary and Secondary School Counseling program has provided resources to LEAs to develop promising and innovative approaches for initiating or expanding elementary school counseling programs. In FY 2007, the program was expanded to provide funds for mental health services in elementary schools, secondary schools or both. To date, the program has impacted the delivery of services to students in more than 400 districts at a cost of more than \$350,000,000 dollars.

The Elementary and Secondary School Counseling program supports the hiring and training of qualified school counselors, school psychologists, school social workers, and child and adolescent psychiatrists; provides greater student access to beneficial mental health services within a comprehensive service delivery system using a public health framework; and supports implementation of evidence-based strategies and uses evidence to identify effective strategies for providing mental health services to elementary and secondary school students that show potential for replication and dissemination.

Absolute Priority and Additional Requirements

For FY 2010 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3), we consider only applications that meet this priority. This priority is:

Establish or expand counseling programs in elementary schools, secondary schools, or both.

Definitions

The following definitions apply to this competition:

Local Educational Agency (LEA) – a public board of education or other public authority legally constituted within a State for either administrative control of or direction of, or to perform service functions for, public elementary or secondary schools. Additional information can be found in EDGAR Part 77.

Elementary school – an elementary school is a day or residential school that provides elementary education, as determined under State law (EDGAR Part 77).

Secondary school – a secondary school is a day or residential school that provides secondary education, as determined under State law (EDGAR Part 77). Under CFR part 77, a secondary school is a day or residential school that provides secondary education as determined under State law. In the absence of State law, the Secretary may determine, with respect to that State, whether the term includes education beyond the twelfth grade.

Child and Adolescent Psychiatrist -- individual who (a) possesses State medical licensure; and (b) has completed residency training programs in both general psychiatry and child and adolescent psychiatry.

Other Qualified Psychologist -- an individual who (a) has demonstrated competence in counseling children in a school setting and (b) who is licensed in psychology by the State in which the individual works; and (c) practices in the scope of the individual's education, training, and experience with children in school settings.

School Counselor -- an individual who (a) has documented competence in counseling children and adolescents in a school setting and who is (b) licensed by the State or certified by an independent professional regulatory authority; (c) in the absence of such State licensure or certification, possesses national certification in school counseling or a specialty of counseling granted by an independent professional organization; or (d) holds a minimum of a master's degree in school counseling from a program accredited by the Council for Accreditation of Counseling and Related Educational Programs or the equivalent.

School Psychologist -- an individual who (a) has completed a minimum of 60 graduate semester hours in school psychology from an institution of higher education and has completed 1,200 clock hours in a supervised school psychology internship, of which 600 hours are in the school setting and (b) is licensed or certified in school psychology by the State in which the individual works; or (c) in the absence of such State licensure or certification, possesses national certification by the National School Psychology Certification Board.

School Social Worker -- an individual who (a) holds a master's degree in social work from a program accredited by the Council on Social Work Education; and (b) is licensed or certified by the State in which services are provided; or (c) in the absence of such State licensure or certification, possesses a national credential or certification as a school social work specialist granted by an independent professional organization.

Application Requirements

Each program funded under this section shall--

(A) be comprehensive in addressing the counseling and educational needs of all students;

(B) use a developmental, preventive approach to counseling;

(C) increase the range, availability, quantity, and quality of counseling services in the elementary schools and secondary schools of the local educational agency;

(D) expand counseling services through qualified school counselors, school social workers, school psychologists, other qualified psychologists, or child and adolescent psychiatrists;

(E) use innovative approaches to increase children's understanding of peer and family relationships, work and self, decision making, or academic and career planning, or to improve peer interaction;

(F) provide counseling services in settings that meet the range of student needs;

(G) include in-service training appropriate to the activities funded under this Act for teachers, instructional staff, and appropriate school personnel, including in-service training in appropriate identification and early intervention techniques by school counselors, school social workers, school psychologists, other qualified psychologists, and child and adolescent psychiatrists;

(H) involve parents of participating students in the design, implementation, and evaluation of the counseling program;

(I) involve community groups, social service agencies, or other public or private entities in collaborative efforts to enhance the program and promote school-linked integration of services;

(J) evaluate annually the effectiveness and outcomes of the counseling services and activities assisted under this section;

(K) ensure a team approach to school counseling in the schools served by the local educational agency by working toward ratios recommended by the American School Health Association of 1 school counselor to 250 students, 1 school social worker to 800 students, and 1 school psychologist to 1,000 students; and

(L) ensure that school counselors, school psychologists, other qualified psychologists, school social workers, or child and adolescent psychiatrists paid from funds made available under this section spend a majority of their time counseling students or in other activities directly related to the counseling process.

Selection Criteria

The following selection criteria will be used to evaluate applications. For ease of reading by the reviewers, applicants should develop their narrative description to follow the sequence of criteria provided below. The maximum number of possible points for all selection criteria is 100. **[Note: The criteria contain weighted subcriteria. Applicants must address each subcriterion to qualify for the maximum number of points for each criterion.]**

- 1) Need for Project - 25 points
- 2) Quality of the Project Design -35 points
- 3) Quality of the Management Plan - 20 points
- 4) Quality of the Project Evaluation - 20 points

1. Need for Project (25 points)

In determining the need for the proposed project, the following factors are considered:

- A. The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses. (15 points)
- B. The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project. (10 points)

Note: Reviewers will look at the magnitude of the need for mental health services among the target population and the extent to which this project will address identified needs, gaps in current service delivery systems and build infrastructure for a sustainable mental health service delivery system. Applicants must describe the school population to be served by the grant using recent data, the mental health needs of that population, and gaps in services not addressed by current services and programs. Applicants are encouraged to address the variety of gaps and weaknesses in their current delivery system that impact the cultural and linguistic needs of their student population, how these needs were identified, and how they may be addressed through the proposed project.

2. Quality of the Project Design (35 points)

In determining the quality of the design of the proposed project, the following factors are considered:

- A. The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (15 points)
- B. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (5 points)
- C. The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (10 points)
- D. The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population. (5 points)

Note: Reviewers will look for the extent to which proposed project objectives and activities will be used to enhance mental health services to students in the target population and outcomes

are linked to state goals as described in the project narrative. We invite applicants to integrate cultural competency in their program initiatives. Reviewers will consider the extent to which activities, curricula, programs, and services proposed by the applicant are evidence-based or reflect current research and effective practice, and are appropriate for the age and developmental levels, gender and cultural diversity of the target population. In addition, the reviewer will consider the extent to which the proposed project will result in an integrated service delivery model that connects to existing school structures, and involves community groups, social service agencies, and other public and private entities in collaborative efforts to enhance or build school-wide mental health services and promote school-linked service integration. Finally, applicants are encouraged to discuss how the design of their proposed project will ensure that services will be culturally competent and linguistically appropriate. Applicants are encouraged to also work with students, families, and other stakeholders in designing the proposed project and provide an explanation of how they were included and feedback obtained.

3. Quality of Management Plan (20 points)

In determining the quality of management plan for the proposed project, the following factors are considered:

- A. The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (10 points)
- B. The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project. (10 points)

Note: Reviewers will look for evidence that the applicant describes a management plan adequate to achieve the objectives of the proposed project on time, within budget, including clearly defined responsibilities of staff and any contracted service providers (e.g., trainers), and milestones for accomplishing project tasks. In addition, reviewers will consider the extent to which the applicant has the personnel qualified to develop, implement, and administer the proposed project, including the project evaluation. Consideration is given to the professional training and credentials of mental health professionals, as well as demonstrated competence in areas consistent with the needs and service delivery model being proposed. Additionally, applicants are encouraged to consider the cultural and linguistic needs of their student population to ensure that the service delivery system will be relevant and responsive.

Applicants must sign the Program Specific Assurance form certifying their commitment to hire staff qualified according to the statutory requirements. Applicants are encouraged to invite applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

4. Quality of the Project Evaluation (20 points)

In determining the quality of the evaluation for the proposed project, the following factors are considered:

- A. The extent to which the methods of evaluation are thorough, feasible, measurable, and appropriate to the goals, objectives, and outcomes of the proposed project. (10 points)
- B. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (5 points)
- C. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)

Note: Reviewers will look for a detailed description of the evaluation plan that includes the methods to be used to evaluate the outcomes and effectiveness of the project, including the applicant's plan to address the Government Performance and Results (GPRA) measures established for this program. Applicants must provide baseline data for the GPRA performance measures as part of their application. Please use the most recent data available and indicate the year in which the data were collected. See example chart for reporting GRPA data on page 16. Measures to be used for evaluation of progress and performance must be clear, objective, and consistently used across all schools or target groups participating in the project. Reviewers will consider the extent to which the applicant's project narrative described a plan for regularly monitoring project implementation, assessing the quality, completeness, and effectiveness of activities planned under the grant by using data from periodic assessments of progress toward achieving intended outcomes. **In addition, the use of external evaluators is not required for this program. If an applicant decides to contract with an external evaluator the applicant must use appropriate procurement procedures for the State/district to identify and select contractors. Applicants should not include information in the grant application about specific contractors that will be used to provide services.** Applicants may include in the budget a reasonable sum for evaluation costs.

Program Specific Assurances

If you are submitting an electronic application, you must print out the form below, complete, and either upload all signed forms to the Other Attachments Form or fax it (along with the ED 424 and other forms) to the Office of Safe and Drug-Free Schools at (202) 245-7166 within 3 working days of submitting your electronic application. You must indicate your PR/Award number in the upper right corner of the form.

As the duly authorized representative of the applicant, I certify that the applicant shall assure that:

1. the funds made available for any fiscal year will be used to supplement, and not supplant, any other Federal, State, or local funds used for providing school-based counseling and mental health services to students;
2. the applicant will appoint an advisory board composed of interested parties, including parents, teachers, school administrators, and counseling service providers, and community leaders to advise the local educational agency on the design and implementation of the counseling program; and
3. Federal funds will be used to establish or expand mental health services by hiring qualified school counselors, school social workers, school psychologists, other qualified psychologists, or child and adolescent psychiatrists and these professionals will spend a majority of their time counseling students or in other activities directly related to the counseling process as outlined in the program statute.

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted

Frequently Asked Questions

General Questions

What is the deadline date for this competition?

- The competition deadline for the Elementary and Secondary School Counseling program is **February 26, 2010**.

Other than the normal hours of operation that the system is unavailable for maintenance (see the Federal Register notice for regularly scheduled maintenance times), is there any other times the system will be unavailable prior to the application deadline?

- Please note, if you are submitting your application electronically, the Department's e-Grants Web site will be unavailable from February 10-15, 2010 because of upgrades to our system. This means that you will not be able to work on-line to complete your forms or upload your narrative sections and submit your final application electronically to the Department during this time. You will have to wait until the system is available again on February 16, 2010 to do so. Our recommendation is that you download a copy of the application before February 10, 2010 so that you will have the information you need to work on developing your narrative sections while the system is unavailable. We will not grant an extension to the submission deadline because of the system unavailability during February 10-15, 2010.

May I get an extension of the deadline date?

- Waivers for individual applications failing to meet the deadline will not be granted, regardless of the circumstances. Under very extraordinary circumstances the Department may change the closing date for a grant competition. When this occurs, the Department announces such a change in a notice published in the Federal Register.

What is an indirect cost rate?

- An indirect cost is an expense that you incur that is necessary to implementing the grant, but may be difficult to identify directly with your grant. For example, indirect costs may include money spent for heat, light, rent, telephone, security, accounting, and Internet use.

Does this program use a restricted or unrestricted indirect cost rate?

- Yes. If you wish to charge indirect costs, you must use a negotiated **restricted** indirect cost rate for this competition. This rate permits grantees to distribute indirect costs across grants so that grantees are able to recover these costs for grant funds without supplanting the grantee's own funds. Your organization must submit proof of a negotiated restricted indirect cost rate with the application if you are planning to claim indirect costs. For more information, please see: www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html.

How do I obtain a negotiated, restricted indirect cost rate?

- Your organization may already have a negotiated, restricted indirect cost rate with a Federal government agency. If your organization has not negotiated this rate in the past, please contact Katrina McDonald with the Department of Education's Indirect Cost Group at 202-377-3838 or Katrina.Mcdonald@ed.gov.

Who in my organization may be able to provide information about our negotiated, restricted indirect cost rate?

- If you do not know your negotiated, restricted indirect cost rate, please contact your business office. Please note you will need to submit proof of this cost rate, such as a signed letter or a page from a state Web site.

For my GEPA 427 statement (see pages 57-58), is it adequate to state that our organization does not discriminate on the basis of race, religion, sex, etc.?

- No. An organization's non-discrimination statement is not sufficient to meet the GEPA requirements. A GEPA statement should outline an entity's potential barriers and solutions to equal access, specific to the proposed project.

How does the Freedom of Information Act affect my application?

- The Freedom of Information Act (FOIA) provides that any person has the right to request access to federal agency records or information. All U.S. Government agencies are required to disclose records upon receiving a written request for them, except for those records that are protected from disclosure by the nine exemptions listed in the FOIA. All applications submitted for funding consideration under this grant competition are subject to the FOIA. To read the text of the Freedom of Information Act, visit <http://www.ed.gov/policy/gen/leg/foia/foiatoc.html>.

Is this program covered by Executive Order 12372?

- Yes. This means applicants must submit a copy of their application to their State Single Point of Contact for review and include a copy of the transmittal letter in the application. On the Application for Federal Assistance (Standard Form 424), you must check box (a) in item 19 and provide the date on which you made your application available for review. Note that ED is prohibited from making an award to an entity that has not provided an opportunity for its State to review the application. The only exceptions to this requirement are applicants from States that have chosen not to participate or have indicated they do not wish to review applications from this competition. In either of these cases, applicants should check box (b). Do not check box (c) since this grant program is covered by Executive Order 12372. For more information about this requirement, see the Intergovernmental Review of Federal Programs section in this application package.

What is required from an applicant whose State Single Point of Contact indicates that they are not reviewing applications for this grant competition?

- Applicants should include a copy of such a response from the State Single Point of Contact in their application package submitted to ED and check the appropriate line on the SF 424 form.

By what date do applicants have to submit their application to their State Single Point of Contact, if participating?

- Applicants must submit their application to the State Single Point of Contact by the deadline date for transmitting their application to ED.

What steps should the applicant's Authorized Representative take before signing a grant application?

- The standard form that serves as a cover sheet for grant applications includes a certification statement that accompanies the authorized representative's signature. That certification indicates that the authorized representative's signature means that the information provided in the grant application is true, complete, and to the best of the authorized representative's knowledge, and that any false, fictitious, or fraudulent statements or claims may subject the authorized representative to administrative, civil, or criminal penalties. As a result, an authorized representative should carefully review a grant application before signing in order to be sure that all of the information contained in the application package is correct. Additionally, an authorized representative should be sure that the application describes a project that has the organization's support and reflects an approach that the organization is committed to implementing.

What kinds of activities are likely to be "human subject research"?

- ED's regulations for the protection of human subjects, 34 CFR Part 97, defines research as a systematic investigation (including program evaluation) designed to develop or contribute to general knowledge. A "systematic" investigation typically uses scientific methods (such as adequate sample sizes, surveys, control groups, and/or randomization). Research becomes "human subjects" research when the researcher obtains data about an individual through an intervention or otherwise obtains identifiable private information about individuals for research purposes. For additional information on human subjects research go to:
<http://www.ed.gov/about/offices/list/ocfo/humansub.html>.

Are there guidelines for how much money can be spent on consultants?

- No, under EDGAR 75.515, a grantee must use its general policies and practices when it hires, uses, and pays a consultant as part of the project staff. Note, however, that grant funds may **not** be used to pay a consultant unless there is a need in the project for the services of that consultant and the grantee cannot meet that need by using an employee rather than a consultant.

Do I have to get bids for goods and services under this grant?

- Generally, all procurement transactions must be conducted in a manner providing full and open competition, consistent with the standards in Section 80.36 of the Education Department General Administrative Regulations (EDGAR). This section requires that grantees use their own procurement procedures (which reflect State and local laws and regulations) to select contractors, provided that those procedures meet certain standards described in EDGAR. (EDGAR is available online at:

www.ed.gov/policy/fund/reg/edgarReg/edgar.html; see Section 80.36 for details about these procurement standards.)

- Because grantees must use appropriate procurement procedures to select contractors, applicants **should not** include information in their grant applications about specific contractors that will be used to provide services for the proposed project.
- Consistent with the limitations in Section 75.515 of EDGAR concerning the use of consultants, contractors or consultants may be used to help prepare grant applications, but their participation in the application development process should not be presumed to result in the receipt of a contract for work under the project if a grant is awarded. Applicants may include a sum for grant writing costs in their grant's proposed budget provided that the amount requested is necessary and reasonable.

What information should I include in my application?

- Complete instructions are given in the application package. Requested information includes:
 - ✓ results of a thorough needs assessment of objective data;
 - ✓ an established set of specific and measurable goals and objectives linked to identified needs as well as the GPRA measures identified for the program;
 - ✓ counseling strategies that research or evaluation has shown to be effective in providing counseling services to elementary school students only; and
 - ✓ evaluation methods to refine, improve, and strengthen the program and refine goals and objectives as appropriate.

Eligibility Questions

Who is eligible to apply?

- This competition limits eligibility to local education agencies (LEAs), including charter schools that are considered LEAs under State law, that do not currently have an active elementary and/or secondary school counseling grant.

May I submit an application on behalf of my local school?

- The only eligible recipients are LEAs. An LEA must be the applicant for funding. An application submitted by an individual school will not be considered unless it meets the definition of an LEA.

Are colleges or universities eligible to apply for this grant?

- Colleges and universities are generally not considered as LEAs and thus are not eligible for this grant. Only entities that meet the definition of an LEA may receive funding under this program.

Are charter schools eligible for this program?

- Yes. Charter schools that are considered LEAs under state law are eligible to apply for funding under this program. Charter schools must provide proof of LEA status.

Are Area Educational Districts, Educational Service Centers or other similar entities eligible for this program?

- Yes. If these entities are considered LEAs under state law, they are eligible to apply for funding under this program.

Electronic Submission

Do I have to submit my application electronically?

- No. Applications may be submitted electronically or in paper format by mail or hand delivery. The electronic submission of applications is voluntary. However, if you choose to submit your application electronically you must use the e-Grants Web site.
Note: You may not submit your application by e-mail or facsimile.

If I am submitting my application electronically, how should I submit forms with signatures?

- If you are submitting an electronic application, you may either upload signed versions of the forms, in a .PDF format, to e-Application or you may fax the signed forms to the Department of Education. These documents may be faxed to the attention of Loretta McDaniel at 202-245-7166 and must be received within three days of your application submission.

If I submit my application electronically, are there any compatibility restrictions, especially if I use Microsoft Vista?

- You must submit your application in a .DOC (document), .RTF (rich text), .PDF (Portable Document) format in order for your application to submit successfully to the Department. If you submit your application in any other format, we will not be able to access your document. Also note if you are using the Microsoft Word from the Vista Operating System, you will need to convert your document from a .DOCX to a .DOC file before you can submit.

If I submit electronically, are there any restrictions on the file name length or size of the document?

- No, e-Application does not have a restriction on the number of characters in a file name or the size of a file being uploaded into the system. However, in the past we have encountered problems opening files that had large names or were extremely large documents, especially those that had quite a number of graphics embedded in the document. We suggest you limit these so the Department will not have any problems accessing the attachments you submit.

Program-Specific Questions

Is there a maximum award amount for this competition?

- Yes, the authorizing statute caps awards at \$400,000 per year. Your application will not

be considered if you request more than \$400,000 per year or \$1.2 million over 3 years.

What should I use as the project start date?

- Should you receive a grant, the start date for a project may have to be flexible, depending on when funds can be awarded and funds obligated. If necessary, your proposed project start date will be modified to a date shortly after the award date.

Can grant funds be used to support professional development activities?

- Yes, as long as the activities directly support the purposes and intent of this grant program.
Note: Grant funds must not be used for continuing education of staff, enhancing professional credentials, conversion of professional credentials from a teacher or other staff to a mental health professional, professional licenses and memberships, or parent support or training.

Can grant funds be used to hire mental health professionals?

- Yes. Applicants are encouraged to implement a comprehensive team approach to providing mental health services for the proposed target population or school. To achieve this goal grantees can hire the following credentialed professionals with these grant funds.
 - Child and Adolescent Psychiatrist -- individual who (a) possesses State medical licensure; and (b) has completed residency training programs in both general psychiatry and child and adolescent psychiatry.
 - Other Qualified Psychologist -- an individual who (a) has demonstrated competence in counseling children in a school setting and (b) who is licensed in psychology by the State in which the individual works; and (c) practices in the scope of the individual's education, training, and experience with children in school settings.
 - School Counselor -- an individual who (a) has documented competence in counseling children and adolescents in a school setting and who is (b) licensed by the State or certified by an independent professional regulatory authority; (c) in the absence of such State licensure or certification, possesses national certification in school counseling or a specialty of counseling granted by an independent professional organization; or (d) holds a minimum of a master's degree in school counseling from a program accredited by the Council for Accreditation of Counseling and Related Educational Programs or the equivalent.
 - School Psychologist -- an individual who (a) has completed a minimum of 60 graduate semester hours in school psychology from an institution of higher education and has completed 1,200 clock hours in a supervised school psychology internship, of which 600 hours are in the school setting and (b) is licensed or certified in school psychology by the State in which the individual works; or (c) in the absence of such State licensure or certification, possesses national certification by the National School Psychology Certification Board.

- School Social Worker -- an individual who (a) holds a master's degree in social work from a program accredited by the Council on Social Work Education; and (b) is licensed or certified by the State in which services are provided; or (c) in the absence of such State licensure or certification, possesses a national credential or certification as a school social work specialist granted by an independent professional organization.

Can an LEA that currently has an ESSC grant to serve elementary-only or secondary-only schools submit an application to receive an additional award to serve additional schools?

- No. Applicants that currently have an active grant to serve elementary or secondary schools in their district are not eligible to apply for a new award in FY 2010. For the purpose of this eligibility requirement, a grant is considered active until the end of the grant project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

Can LEAs apply for funding to serve students at the secondary school/grade level?

- Yes, depending on the final appropriation for FY 2010. If the amount available exceeds \$40,000,000, amounts in excess of \$40,000,000 may be used for elementary or secondary school counseling programs or both. **Note:** We will use the highest grade an applicant proposes to serve under its grant to determine if the application will be considered for funding from amounts available for elementary school counseling programs only or from amounts available for elementary or secondary school counseling programs (or both), along with the applicant State's law that defines what grade levels constitute an elementary school in the State.

My district is K-12. May we submit one application to serve both our elementary and our secondary school students?

- Yes, however, in order to ensure that the first \$40 million of available funds goes to support elementary school counseling programs, we would consider your application for funding only from the amount in excess of \$40 million. For example, if the appropriation this year is \$50 million, your application would be eligible to be funded from the \$10 million amount in excess of the \$40 million that is reserved for elementary school counseling programs.

May we submit two applications—one to serve our elementary school students and separate one to serve our secondary school students?

- Yes, you may submit two applications in this competition so long as you do not have a current active grant under the elementary and secondary school counseling program. Reminder, the maximum yearly award cap of \$400,000 would still apply for each application submitted.

Are we required to serve all of our students in elementary and secondary school?

- No, you may choose to serve any grade levels that you determine are in need of counseling services.

Cultural Competence

What are linguistically appropriate and culturally competent services?

- According to the National Center for Cultural Competence, organizations should develop programs and policies that reflect a value system that can understand and appreciate diversity; conduct a self-assessment; manage the dynamics of difference; acquire and institutionalize cultural knowledge; and adapt to the diversity and cultural contexts of the individuals and communities served. Cultural competence recognizes and focuses on the values and mores of a group who share an integrated pattern of human behavior that includes thoughts, communications, languages, practices, beliefs, values, customs, courtesies, rituals, matters of interacting and roles, relationships, and expected behaviors as well as sensitivities about how that group may differ from the services providers or others within a school setting.
- Linguistic competence or appropriateness allows institutions and its agents to communicate effectively with their audience in a manner that is not only easily understood but relevant and meaningful for that audience. This would not only include the ability to translate from English into other languages, but also to ensure that alternate formats are considered, and ensure that the information being conveyed can be understood and acted upon.

How has cultural competence been integrated into education and other sectors?

- In education, the U.S. Department of Education's Office of Special Education and Rehabilitative Services has funded successful projects to improve cultural competence in teacher training, student retention and service delivery for students with disabilities. For more information, see <http://www.ed.gov/about/offices/list/osers/index.html?src=ocr>.
- The U. S. Department of Education's Institute of Education Sciences has funded a program to develop interventions designed to equip educators, administrators and parents with the necessary tools to support students with disabilities. For more information, see <http://ed.gov/about/offices/list/ies/index.html?src=oc>.
- Cultural competence also has been successfully integrated in medical settings to reduce the incidence of medical errors among diverse populations and in reducing medication errors, unnecessary medical procedures, and preventable hospitalizations. The U. S. Department of Health and Human Services' Office of Minority Health and Agency for Healthcare Research and Quality are good resources for learning more, particularly the report for the Cultural Competence Research Agenda Project, which can be found at <http://minorityhealth.hhs.gov/>. Also see resources available at <http://www.cdc.gov/omhd/>.

Where can we learn more about cultural competence?

- The National Center for Cultural Competence is a well respected resource for learning more about cultural competency (<http://www11.georgetown.edu/research/gucchd/nccc/foundations/frameworks.html>). The Center provides linkages to a consultant pool that includes a listing of evaluators, providers of training, technical assistance and counseling.

Who do I contact for more information about this grant competition?

- Any questions pertaining to this grant competition should be directed to Ms. Loretta McDaniel, Program Analyst, U.S. Department of Education, 550 12th Street, SW, Washington, DC 20202-6450, Phone: 202-245-7870, Fax: 202-245-7166, Email: loretta.mcdaniel@ed.gov.

Elementary and Secondary School Counseling Resource List

American Counseling Association (ACA) provides counseling professionals and educators with resources, services, products and information. <http://www.counseling.org/>

American School Counselor Association (ASCA) allows the reader to search resources suggested by school counselors. <http://www.schoolcounselor.org/>

American Academy of Pediatrics promotes the attainment of optimal physical, mental, and social health and well-being for all infants, children, adolescents, and young adults. The Web site provides information related to child health, including mental health. <http://www.aap.org>

American Psychological Association is a scientific and professional organization that represents psychology in the United States. <http://www.apa.org>

Collaborative for Academic, Social, and Emotional Learning:

<http://www.promoteprevent.org/Publications/center-briefs/Social%20and%20Emotional%20Learning2.pdf>

National Association of School Psychologists (NASP) is a not-for-profit association representing more than 25,000 school psychologists from across the United States and abroad. www.nasponline.org

National Institutes of Mental Health, Suicide in the U.S.: Statistics and Prevention:

<http://www.nimh.nih.gov/health/publications/suicide-in-the-us-statistics-and-prevention/index.shtml>

School Social Worker Association of America (SSWAA) is dedicated to promoting the profession of school social work and the professional development of school social workers in order to enhance the educational experience of students and their families.

<http://www.sswaa.org/>

LEGAL AND REGULATORY DOCUMENTS

Notice Inviting Applications

Federal Register Publication – January 12, 2010

4000-01-U

DEPARTMENT OF EDUCATION

Office of Safe and Drug-Free Schools

Overview Information

Elementary and Secondary School Counseling Programs

Notice inviting applications for new awards for fiscal year (FY) 2010.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.215E.

Dates:

Applications Available: January 12, 2010.

Deadline for Transmittal of Applications: February 26, 2010.

Deadline for Intergovernmental Review: April 27, 2010.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the Elementary and Secondary School Counseling program is to support efforts by local educational agencies (LEAs) to establish or expand elementary school and secondary school counseling programs.

Priority: In accordance with 34 CFR 75.105(b)(2)(iv), this priority is from section 5421 of the Elementary and Secondary Education Act of 1965, as amended (ESEA) (20 U.S.C. 7245).

Absolute Priority: For FY 2010 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority.

This priority is:

Establish or expand counseling programs in elementary schools, secondary schools, or both.

Definitions: The following definitions are from 34 CFR part 77 and apply to this competition:

Elementary school means a day or residential school that provides elementary education, as determined under State law.

Secondary school means a day or residential school that provides secondary education, as determined under State law. In the absence of State law, the Secretary may determine, with respect to that State, whether the term includes education beyond the twelfth grade.

Under this competition we are particularly interested in applications that address the following priority.

Invitational Priority: For FY 2010 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, this priority is an invitational priority. Under 34 CFR 75.105(c)(1) we do not give an application that meets this invitational priority a competitive or absolute priority over other applications.

This priority is:

Low-Achieving Schools.

Projects that are designed to dramatically improve student achievement in schools identified for corrective action or restructuring under Title I of the ESEA or in secondary schools

with graduation rates of less than 60 percent through either comprehensive interventions or targeted approaches to reform.

Program Authority: 20 U.S.C. 7245.

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 79, 80, 81, 82, 84, 85, 97, 98, 99, and 299. (b) The notice of final eligibility requirements for the Office of Safe and Drug-Free Schools discretionary grant programs published in the Federal Register on December 4, 2006 (71 FR 70369).

Note: The regulations in 34 CFR part 79 apply to all applicants except federally recognized Indian tribes.

II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: \$15,437,591

Contingent upon the availability of funds and the quality of applications, we may make additional awards later in FY 2010 and in FY 2011 from the list of unfunded applicants from this competition.

Estimated Range of Awards: \$250,000 - \$400,000.

Estimated Average Size of Awards: \$350,000.

Maximum Award: \$400,000.

Note: Section 5421(a)(5) of the ESEA limits the amount of a grant under this program in any one year to a maximum of \$400,000.

Estimated Number of Awards: 44.

Note: Section 5421(g)(1) of the ESEA requires that for any fiscal year in which the amount of funds made available by the Secretary for this program equals or exceeds \$40,000,000, the Secretary shall award not less than \$40,000,000 to enable LEAs to establish or expand counseling programs in elementary schools. Under this notice applicants may propose projects that establish or expand counseling programs in elementary schools, secondary schools, or both.

Note: We will use the highest grade level an applicant proposes to serve under its grant, along with the information obtained by examining the applicant State's law that defines what grade levels constitute an elementary school in the State, to determine if the application will be considered for funding from amounts available for elementary school counseling programs only or from amounts available for elementary or secondary school counseling programs or both.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 36 months. Budgets should be developed for each year of funding requested up to 36 months.

III. Eligibility Information

1. Eligible Applicants: (a) LEAs, including charter schools that are considered LEAs under State law.

(b) LEAs that currently have an active grant under the Elementary and Secondary School Counseling Program are not eligible to apply for an award in this competition. For the purpose of this eligibility requirement, a grant is considered active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

2. a. Cost Sharing or Matching: This program does not require cost sharing or matching.

b. Supplement-Not-Supplant: This program involves supplement-not-supplant funding requirements. Section 5421(b)(2)(G) of the ESEA requires applicants under this program to assure that program funds will be used to supplement, and not supplant, any other

Federal, State, or local funds used for providing school-based counseling and mental health services to students.

IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain a copy via the Internet, use the following address: www.ed.gov/programs/elseccounseling/applicant.html. To obtain a copy from ED Pubs, write, fax, or call the following: Education Publications Center, P.O. Box 1398, Jessup, MD 20794-1398. Telephone, toll free: 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), call, toll free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also: www.ed.gov/pubs/edpubs.html or at its e-mail address: edpubs@inet.ed.gov.

If you request an application from ED Pubs, be sure to identify this program or competition as follows: CFDA number 84.215E.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotope, or computer diskette) by contacting the program contact person listed under Accessible Format in section VIII of this notice.

2. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this program.

3. Submission Dates and Times:

Applications Available: January 12, 2010.

Deadline for Transmittal of Applications: February 26, 2010.

Applications for grants under this program may be submitted electronically using the Electronic Grant Application System (e-Application) accessible through the Department's e-Grants site, or in paper format by mail or hand delivery. For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery, please refer to section IV. 6. Other Submission Requirements of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

Deadline for Intergovernmental Review: April 27, 2010.

4. Intergovernmental Review: This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. Information about Intergovernmental Review of Federal Programs under Executive Order 12372 is in the application package for this program.

5. Funding Restrictions: Section 5421(d) of the ESEA requires that no more than four percent of a grant award may be used for administrative costs to carry out the project. We reference additional regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Other Submission Requirements: Applications for grants under this program may be submitted electronically or in paper format by mail or hand delivery.

a. Electronic Submission of Applications.

If you choose to submit your application to us electronically, you must use e-Application, accessible through the Department's e-Grants Web site at: <http://e-grants.ed.gov>.

While completing your electronic application, you will be entering data online that will be saved into a database. You may not e-mail an electronic copy of a grant application to us.

Please note the following:

- Your participation in e-Application is voluntary.
 - You must complete the electronic submission of your grant application by 4:30:00 p.m., Washington, DC time, on the application deadline date. E-Application will not accept an application for this program after 4:30:00 p.m., Washington, DC time, on the application deadline date. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the application process.
 - The hours of operation of the e-Grants Web site are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until 8:00 p.m. Sunday, Washington, DC time. Please note that, because of maintenance, the system is unavailable between 8:00 p.m. on Sundays and 6:00 a.m. on Mondays, and between 7:00 p.m. on Wednesdays and 6:00 a.m. on Thursdays, Washington, DC time. Any modifications to these hours are posted on the e-Grants Web site.
 - You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you submit your application in paper format.
 - You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications. You must attach any narrative sections of your application as files in a .DOC (document), .RTF (rich text), or .PDF (Portable Document) format. If you upload a file type other than the three file types specified in this paragraph or submit a password protected file, we will not review that material.
 - Your electronic application must comply with any page limit requirements described in this notice.
 - Prior to submitting your electronic application, you may wish to print a copy of it for your records.
 - After you electronically submit your application, you will receive an automatic acknowledgment that will include a PR/Award number (an identifying number unique to your application).
 - Within three working days after submitting your electronic application, fax a signed copy of the SF 424 to the Application Control Center after following these steps:
 - (1) Print SF 424 from e-Application.
 - (2) The applicant's Authorizing Representative must sign this form.
 - (3) Place the PR/Award number in the upper right hand corner of the hard-copy signature page of the SF 424.
 - (4) Fax the signed SF 424 to the Application Control Center at (202) 245-6272.
 - We may request that you provide us original signatures on other forms at a later date.
- Application Deadline Date Extension in Case of System Unavailability: If you are prevented from electronically submitting your application on the application deadline date because e-Application is unavailable, we will grant you an extension of one business day to enable you to transmit your application electronically, by mail, or by hand delivery. We will grant this extension if--
- (1) You are a registered user of e-Application and you have initiated an electronic application for this competition; and
 - (2) (a) E-Application is unavailable for 60 minutes or more between the hours of 8:30 a.m. and 3:30 p.m., Washington, DC time, on the application deadline date; or
 - (b) E-Application is unavailable for any period of time between 3:30 p.m. and 4:30:00 p.m., Washington, DC time, on the application deadline date.
- We must acknowledge and confirm these periods of unavailability before granting you an extension. To request this extension or to confirm our acknowledgment of any system unavailability, you may contact either (1) the person listed elsewhere in this notice under For Further Information Contact (see VII. Agency Contact) or (2) the e-Grants help desk at 1-888-

336-8930. If e-Application is unavailable due to technical problems with the system and, therefore, the application deadline is extended, an e-mail will be sent to all registered users who have initiated an e-Application.

Extensions referred to in this section apply only to the unavailability of e-Application. If e-Application is available, and, for any reason, you are unable to submit your application electronically or you do not receive an automatic acknowledgment of your submission, you may submit your application in paper format by mail or hand delivery in accordance with the instructions in this notice.

b. Submission of Paper Applications by Mail.

If you submit your application in paper format by mail (through the U.S. Postal Service or a commercial carrier), you must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.215E)
LBJ Basement Level 1
400 Maryland Avenue, SW.
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you submit your application in paper format by hand delivery, you (or a courier service) must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education
Application Control Center
Attention: (CFDA Number 84.215E)
550 12th Street, SW.
Room 7041, Potomac Center Plaza
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

- (1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this grant notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

1. Selection Criteria: The selection criteria for this program are from 34 CFR 75.210 of EDGAR and are listed in the application package.

2. Review and Selection Process: Additional factors we consider in selecting an application for an award are from section 5421(a)(3) of the ESEA, which requires an equitable geographic distribution among the regions of the United States and among LEAs located in urban, rural, and suburban areas.

VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to www.ed.gov/fund/grant/apply/appforms/appforms.html.

4. Performance Measures: The Department has established the following Government Performance and Results Act of 1993 (GPRA) performance measures for the Elementary and Secondary School Counseling Program:

(1) The percentage of grantees closing the gap between their student/mental health professional ratios and the student/mental health professional ratios recommended by the statute; and

(2) The average number of referrals per grant site that are made for disciplinary reasons in schools participating in the program.

These measures constitute the Department's indicators of success for this program. Consequently, we advise an applicant for a grant under this program to give careful consideration to these measures in conceptualizing the approach and evaluation for the applicant's proposed project. Each grantee will be required to provide, in its annual performance and final reports, data about the grantee's progress against these measures.

VII. Agency Contacts

For Further Information Contact: Loretta McDaniel, U.S. Department of Education, 400 Maryland Avenue, SW., Potomac Center Plaza, room 10080, Washington, DC 20202-6450. Telephone: (202) 245-7870 or by e-mail: Loretta.McDaniel@ed.gov.

If you use a TDD, call the Federal Relay Service, toll free, at 1-800-877-8339.

VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or computer diskette) on request to the program contact person listed under For Further Information Contact in section VII of this notice.

Electronic Access to This Document: You can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site: www.ed.gov/news/fedregister. To use PDF you must have Adobe Acrobat Reader, which is available free at this site.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at: www.gpoaccess.gov/nara/index.html.

Dated:

Kevin Jennings,
Assistant Deputy Secretary
for Safe and Drug-Free Schools

Authorizing Legislation – No Child Left Behind Act of 2001

TITLE V – PROMOTING INFORMED PARENTAL CHOICE AND INNOVATIVE PROGRAMS

PART D – FUND FOR THE IMPROVEMENT OF EDUCATION

SEC. 5421. ELEMENTARY AND SECONDARY SCHOOL COUNSELING PROGRAMS

`(a) GRANTS AUTHORIZED-

`(1) IN GENERAL- The Secretary is authorized to award grants to local educational agencies to enable such agencies to establish or expand elementary school and secondary school counseling programs that comply with the requirements of subsection (c)(2).

`(2) SPECIAL CONSIDERATION- In awarding grants under this section, the Secretary shall give special consideration to applications describing programs that—

 `(A) demonstrate the greatest need for new or additional counseling services among children in the schools served by the local educational agency, in part by providing information on current ratios of students to school counselors, students to school social workers, and students to school psychologists;

 `(B) propose the most promising and innovative approaches for initiating or expanding school counseling; and

 `(C) show the greatest potential for replication and dissemination.

`(3) EQUITABLE DISTRIBUTION- In awarding grants under this section, the Secretary shall ensure an equitable geographic distribution among the regions of the United States and among local educational agencies located in urban, rural, and suburban areas.

`(4) DURATION- A grant under this section shall be awarded for a period not to exceed 3 years.

`(5) MAXIMUM GRANT- A grant awarded under this section shall not exceed \$400,000 for any fiscal year.

`(6) SUPPLEMENT, NOT SUPPLANT- Funds made available under this section shall be used to supplement, and not supplant, other Federal, State, or local funds used for providing school-based counseling and mental health services to students.

`(b) APPLICATIONS-

`(1) IN GENERAL- Each local educational agency desiring a grant under this section shall submit an application to the Secretary at such time, in such manner, and accompanied by such information as the Secretary may reasonably require.

`(2) CONTENTS- Each application for a grant under this section shall--

 `(A) describe the school population to be targeted by the program, the particular counseling needs of such population, and the current school counseling resources available for meeting such needs;

`(B) describe the activities, services, and training to be provided by the program and the specific approaches to be used to meet the needs described in subparagraph (A);

`(C) describe the methods to be used to evaluate the outcomes and effectiveness of the program;

`(D) describe how the local educational agency will involve community groups, social service agencies, and other public and private entities in collaborative efforts to enhance the program and promote school-linked services integration;

`(E) document that the local educational agency has the personnel qualified to develop, implement, and administer the program;

`(F) describe how diverse cultural populations, if applicable, will be served through the program;

`(G) assure that the funds made available under this subpart for any fiscal year will be used to supplement, and not supplant, any other Federal, State, or local funds used for providing school-based counseling and mental health services to students; and

`(H) assure that the applicant will appoint an advisory board composed of interested parties, including parents, teachers, school administrators, counseling services providers described in subsection (c)(2)(D), and community leaders, to advise the local educational agency on the design and implementation of the program.

`(c) USE OF FUNDS-

`(1) IN GENERAL- The Secretary is authorized to award grants to local educational agencies to enable the local educational agencies to initiate or expand elementary school or secondary school counseling programs that comply with the requirements of paragraph (2).

`(2) REQUIREMENTS- Each program funded under this section shall--

`(A) be comprehensive in addressing the counseling and educational needs of all students;

`(B) use a developmental, preventive approach to counseling;

`(C) increase the range, availability, quantity, and quality of counseling services in the elementary schools and secondary schools of the local educational agency;

`(D) expand counseling services through qualified school counselors, school social workers, school psychologists, other qualified psychologists, or child and adolescent psychiatrists;

`(E) use innovative approaches to increase children's understanding of peer and family relationships, work and self, decisionmaking, or academic and career planning, or to improve peer interaction;

`(F) provide counseling services in settings that meet the range of student needs;

`(G) include in-service training appropriate to the activities funded under this Act for teachers, instructional staff, and appropriate school personnel, including in-service training in appropriate identification and early intervention techniques by school counselors, school social workers, school psychologists, other qualified psychologists, and child and adolescent psychiatrists;

`(H) involve parents of participating students in the design, implementation, and evaluation of the counseling program;

`(I) involve community groups, social service agencies, or other public or private entities in collaborative efforts to enhance the program and promote school-linked integration of services;

`(J) evaluate annually the effectiveness and outcomes of the counseling services and activities assisted under this section;

`(K) ensure a team approach to school counseling in the schools served by the local educational agency by working toward ratios recommended by the American School Health Association of 1 school counselor to 250 students, 1 school social worker to 800 students, and 1 school psychologist to 1,000 students; and

`(L) ensure that school counselors, school psychologists, other qualified psychologists, school social workers, or child and adolescent psychiatrists paid from funds made available under this section spend a majority of their time counseling students or in other activities directly related to the counseling process.

`(d) LIMITATION ON ADMINISTRATIVE COSTS- Not more than 4 percent of the amounts made available under this section for any fiscal year may be used for administrative costs to carry out this section.

`(e) DEFINITIONS- For the purpose of this section—

`(1) the term `child and adolescent psychiatrist' means an individual who--

`(A) possesses State medical licensure; and

`(B) has completed residency training programs in both general psychiatry and child and adolescent psychiatry;

`(2) the term `other qualified psychologist' means an individual who has demonstrated competence in counseling children in a school setting and who—

`(A) is licensed in psychology by the State in which the individual works; and

`(B) practices in the scope of the individual's education, training, and experience with children in school settings;

`(3) the term `school counselor' means an individual who has documented competence in counseling children and adolescents in a school setting and who--

`(A) is licensed by the State or certified by an independent professional regulatory authority;

`(B) in the absence of such State licensure or certification, possesses national certification in school counseling or a specialty of counseling granted by an independent professional organization; or

`(C) holds a minimum of a master's degree in school counseling from a program accredited by the Council for Accreditation of Counseling and Related Educational Programs or the equivalent;

`(4) the term `school psychologist' means an individual who--

`(A) has completed a minimum of 60 graduate semester hours in school psychology from an institution of higher education and has completed 1,200 clock hours in a supervised school psychology internship, of which 600 hours are in the school setting;

`(B) is licensed or certified in school psychology by the State in which the individual works; or

`(C) in the absence of such State licensure or certification, possesses national certification by the National School Psychology Certification Board; and

`(5) the term `school social worker' means an individual who--

`(A) holds a master's degree in social work from a program accredited by the Council on Social Work Education; and

`(B)(i) is licensed or certified by the State in which services are provided; or

`(ii) in the absence of such State licensure or certification, possesses a national credential or certification as a school social work specialist granted by an independent professional organization.

`(f) **REPORT-** Not later than 2 years after assistance is made available to local educational agencies under subsection (c), the Secretary shall make publicly available a report—

`(1) evaluating the programs assisted pursuant to each grant under this subpart; and

`(2) outlining the information from local educational agencies regarding the ratios of students to-

-

`(A) school counselors;

`(B) school social workers; and

`(C) school psychologists.

`(g) **SPECIAL RULE-**

`(1) **AMOUNT EQUALS OR EXCEEDS \$40,000,000-** If the amount of funds made available by the Secretary for this subpart equals or exceeds \$40,000,000, the Secretary shall award not less than \$40,000,000 in grants to local educational agencies to enable the agencies to establish or expand counseling programs in elementary schools.

`(2) **AMOUNT LESS THAN \$40,000,000-** If the amount of funds made available by the Secretary for this subpart is less than \$40,000,000, the Secretary shall award grants to local educational agencies only to establish or expand counseling programs in elementary schools.

Program Regulations

The following Education Department General Administrative Regulations (EDGAR) apply to the competition described in this application package:

34 CFR Part 75 (Direct Grant Programs)

34 CFR Part 77 (Definitions that Apply to Department Regulations)

34 CFR Part 79 (Intergovernmental Review of Department of Education Programs and Activities)

34 CFR Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments)

34 CFR Part 81 (General Education Provisions Act—Enforcement)

34 CFR Part 82 (New Restrictions on Lobbying)

34 CFR Part 84 (Government Wide Requirements for Drug-Free Workplace)

34 CFR Part 85 (Government Wide Debarment and Suspension)

34 CFR Part 97 (Protection of Human Subjects)

34 CFR Part 98 (Student Rights in Research, Experimental Programs, and Testing)

34 CFR Part 99 (Family Educational Rights and Privacy)

34 CFR Part 299 (General Provisions)

GENERAL APPLICATION INSTRUCTIONS AND INFORMATION

Preparing the Application

A completed application for assistance under this competition consists of two parts: a detailed narrative description of the proposed project and budget, and all forms and assurances that must be submitted in order to receive a grant. An application under this program should address the specific needs of the applicant and propose activities specifically designed to meet those needs. We strongly discourage applicants from using “form” applications or proposals that address general rather than specific local needs. Identical or substantially similar applications are not responsive to the scoring criteria.

A panel of non-federal readers with experience in school mental health services, alcohol and other drug abuse prevention or evaluation in higher education will review each eligible application submitted by the deadline. The panel will award points ranging from 0 to 100 to each application depending on how well the selection criteria are addressed. Be sure you provide a comprehensive response to each factor under each selection criterion. Applications that fail to do so will be read, but our experience suggests they may not score well enough to be funded.

All applicants should adhere to the following formatting guidelines:

- Use 1-inch margins. If you submit your application in paper format by mail or hand delivery, your application must be printed on 8 1/2” by 11” paper.
- Use consistent font no smaller than 11-point type throughout your document. You may use boldface type, underlining, and italics; however, do not use colored text.
- For the project narrative, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation.
- Place a page number at the bottom right of each page beginning with 1, and number your pages consecutively throughout your document, beginning with the Abstract and ending with the Appendices. **Note:** Do not paginate any of the forms.

If you submit your proposal via e-Application, you will use your own word-processing software to complete the application for this grant competition.

Please note, if you are submitting your application electronically, the Department’s e-Grants Web site will be unavailable from February 10-15, 2010 because of upgrades to our system. This means that you will not be able to work on-line to complete your forms or upload your narrative sections and submit your final application electronically to the Department during this time. You will have to wait until the system is available again on February 16, 2010 to do so. Our recommendation is that you download a copy of the application before February 10, 2010 so that you will have the information you need to work on developing your narrative sections while the system is unavailable. We will not grant an extension to the submission deadline because of the system unavailability during February 10-15, 2010.

D-U-N-S Number Instructions

All applicants must obtain and use a D-U-N-S Number, and all applicants applying through e-Grants must be registered. Information on how to obtain a D-U-N-S Number is included below. The D-U-N-S Number used on the application must be the same number that you used to register with the Central Contractor Registry. If the numbers are not the same, e-Application will reject the application.

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built-in check digit helps to ensure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

You can obtain a D-U-N-S Number at no charge by calling 800/333-0505 or by completing the D-U-N-S Number Request Form, available online at www.dnb.com/US/duns_update/index.html. Dun & Bradstreet, a global information provider, has assigned D-U-N-S Numbers to more than 43 million companies worldwide. Customer service is available on Monday-Friday from 8:00 a.m. to 6:00 p.m. (Eastern Time) at 888/814-1435.

Organizing the Application

Supplemental Instructions for Standard Form 424

1. Application for Federal Assistance (SF 424): Use the Application for Federal Assistance and the Department of Education Supplemental Information for SF 424. This is the title page of your application. Be sure that Item 11 identifies the CFDA Number for this grant competition: 84.215E and the Title as Elementary and Secondary School Counseling Program Grant Competition.

Under Item 3 in the ED Supplemental Information, indicate whether the proposed project includes human subjects research activities, and if so, whether any or all of the proposed activities are exempt. For additional guidance, see instructions for ED Supplemental Information in the required forms section of this application package or call ED's protection of human subjects coordinator at 202/260-3353.

If you submit your proposal for this grant competition via e-Application, please complete the SF 424 first. e-Application will insert the correct CFDA number and program name automatically where needed.

If you submit your proposal in paper format by mail or hand delivery, you will need to insert the correct CFDA number and program name where requested.

2. Table of Contents: Include a table of contents with page references.

3. Abstract: Include a concise, one-page, double-spaced abstract following the Table of Contents. This is a key element and should include a brief narrative describing a brief summary of the project goals and objectives and the intended outcomes of the project. Clearly mark this page with the applicant's name as shown in Item 8 of SF 424.

4. Project Narrative: This section should be no more than 25 double-spaced typewritten pages. The narrative must contain evidence that the applicant meets the absolute priority, and should contain and follow in sequence the information requested for each selection criterion.

5. Budget Narrative: Use the Budget Information Form (ED Form 524) provided in the required forms section of this application package to prepare a budget for the project. You must include a detailed budget narrative that supports and explains the information provided in ED Form 524. Use the same budget categories as those on ED Form 524 and explain the basis used to estimate costs for all budget categories, and how the cost items relate to the project's goals, objectives, and activities. All expenditures must be necessary to carry out the goals and objectives of the project, reasonable for the scope and complexity of the project, and allowable under the terms and conditions of the grant and in accordance with government cost principles.

The Budget Information Form and accompanying narrative should provide enough detail for ED staff to easily understand how costs were determined and if the budget is commensurate with the scope of the project.

Note: Failure to submit a detailed budget narrative for each year of funding requested that will permit ED to determine if requested funds are necessary, reasonable and allowable may result in significant cuts to your request.

For this grant competition, you may charge indirect costs using the restricted negotiated rate with your cognizant federal agency (e.g., Department of Education, Department of Health and Human Services, Department of the Interior). Be sure to include evidence of a federally negotiated indirect cost rate. **Note:** Applicants should use the appropriate program or operations rate specified in their institution's federally-approved indirect cost rate agreement in their proposed project budgets. Individuals who apply for any grant competition through ED are not allowed to budget for an indirect cost rate. If you budget for contractual services, please note that indirect costs may be applied only to the first \$25,000 of each subcontract, regardless of the period covered by the subcontract.

You are encouraged to give priority to direct services to students by limiting the indirect costs charged to the project. You will not be penalized for failure to reduce indirect costs nor will you gain competitive advantage if you do.

If you claim indirect costs in the budget for your proposed project and do not have a negotiated rate with the federal government, ED will establish a temporary indirect cost rate for your project (i.e., 10 percent of the direct salaries and wages included in the budget for the project). Grantees will be allowed to draw at the temporary rate during the first 90 days after ED made the grant, as determined by the date of the Grant Award Notification. If a grantee does not submit an indirect cost rate proposal to its cognizant agency within that first 90 days, the grantee will not be allowed to draw any more funds for indirect costs until it obtains a federally recognized indirect cost rate from its cognizant agency. For more information about indirect cost rates, visit www.ed.gov/about/offices/list/ocfo/intro.html.

6. Forms and Appendices

- **Appendices:** If you submit your application via e-Application, the **Appendices Section** is where you will attach proposal appendices that applicants may choose to submit in support of their capacity and preparation to undertake the proposed project, such as curriculum vitae of key personnel or letters of commitment. You should consolidate all your documents for this section and upload as one attachment ensuring you do not exceed the file size restriction identified for the Appendices Section.

- If you submit your application in paper format via mail or hand delivery, information provided in this section includes forms and other material required by ED in order for an application to be eligible for funding as well as any other information that applicants may choose to submit in support of their capacity and preparation to undertake the proposed project.
- The following items are **not** part of the appendices and **may not** be included:
 - Budget or program narrative information that the applicant wishes to have reviewed as part of its response to one or more scoring criteria—all such information must be included in the narrative portion of the application
 - Videotapes, CD-ROMs, photographs, or floppy disks—they will not be reviewed and we will not return them.
- This section **must** include the following:
 - GEPA 427, Equitable Access to and Participation in Federally Assisted Programs
 - Letter of Transmittal to State Single Point of Contact (if your state participates)
 - Proof of federally negotiated restricted indirect cost rate (if you are claiming indirect costs)
- This section **may** include the following:

Other information the applicant wishes to include in support of its capacity, experience, and readiness to undertake the proposed project, including:

- Resumes of key personnel. If personnel have yet to be hired for this proposed project, include a narrative description of expected staff qualifications.
- Project work efficiently and effectively.
- Relevant prior grant experience.
- Letters of commitment that reflect each person's awareness of their role in the proposed project. Each letter should indicate a willingness to put forth the necessary time and effort to make the project work efficiently and effectively.
- Relevant prior grant experience.

7. Assurances and Certifications: If you submit your application electronically, you must complete all forms posted on e-Application.

If you submit your application in paper format via mail or hand delivery, you **must** fill out, have signed by the person authorized to sign for the institution, and submit the following forms:

- Assurances, Non-Construction Programs (Standard Form, 424B)
- Certification Regarding Lobbying Form (formerly ED Form 80-0013)
- Disclosure of Lobbying Activities (Standard Form-LLL)
- Other Program Specific Assurances

Note: If Item 2 of the Lobbying Form applies because of lobbying activities related to a previous grant, or are anticipated to occur with this project if it is funded, you must submit Standard Form LLL. If your organization does not engage in lobbying, please submit Standard Form LLL and indicate as "Not Applicable."

Instructions for Executive Order 12372

This grant competition is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR Part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive Order relies on processes developed by state and local governments for coordination and review of proposed federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact (SSPOC) to find out about, and to comply with, the state's process under Executive Order 12372. Applicants proposing to perform activities in more than one state should immediately contact the SSPOC for each of those states and follow the procedure established in each state under the Executive Order. **Note: A copy of the applicant's letter to the SSPOC must be included with the application (on letterhead).**

To view a list of states that participate in the intergovernmental review process, visit www.whitehouse.gov/omb/grants/spoc.html. States that are not listed have chosen not to participate in the intergovernmental review process, and therefore do not have a State Single Point of Contact. If you are located within one of these states, you are exempt from this requirement.

In states that have not established a process or chosen a program for review, state, area-wide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a SSPOC and any comments from state, area-wide, regional, and local entities must be received by April 27, 2010, at the following address: The Secretary, EO 12372—CFDA #84.215E, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7W300, Washington, DC 20202-0124.

Recommendations or comments may be hand-delivered until 4:30:00 p.m. (Eastern Time) on April 27, 2010. Please do not send applications to this address.

General Education Provisions Act (GEPA) Section 427

Section 427 of GEPA affects applicants for new discretionary grant awards under this program. All applicants for new awards must include information in their applications to address this provision, summarized below, in order to receive funding under this program.

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability, or age*. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, or others from equitable access or participation. Your description need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

NOTE: A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the federal funds awarded to eliminate barriers it identifies.

Examples

The following examples help illustrate how an applicant may comply with section 427.

1. An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
2. An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in Braille for students who are blind.
3. An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course might indicate how it tends to conduct "outreach" efforts to girls to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Public Reporting Burden

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the GEPA 427 is OMB No. 1890-0007. The time required to complete GEPA 427 is estimated to average 1.5 hours per response, including the time to review instructions, search existing data sources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: U.S. Department of Education, Office of Safe and Drug-Free Schools, Potomac Plaza Center – 10th Floor, 550 12th Street, SW, Washington, DC 20202-6450.

Required Forms and Instructions

Forms may be accessed at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

- Application for Federal Assistance (Standard Form 424)
- Department of Education Supplemental Information Form for the Standard Form 424
- Budget Information Form (ED Form 524)
- Assurances – Non – Construction Programs (Standard Form 424B)
- Certification Regarding Lobbying (formerly ED 80-0013)
- Disclosure of Lobbying Activities (Standard Form LLL)
- Program Specific Assurances

(Note: Do not include other forms not required for this grant program.)

Instructions for Application for Federal Assistance (Standard Form 424)

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	Type of Submission: (Required): Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none"> • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date. 	10.	Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. <ul style="list-style-type: none"> • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. <div style="display: flex; justify-content: space-between;"> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration </div> E. Other (specify) 	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	15.	Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.	16.	Congressional Districts Of: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 2-3 characters District Number, e.g., CA-12 for California 12 th district, NC-103 for North Carolina's 103 rd district. <ul style="list-style-type: none"> • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.		
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	Applicant Information: Enter the following in accordance with agency instructions:		

	a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website.		17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.		
	b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.		18.	Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.		
	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website.		19.	Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State		
	d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US).					
	e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable.					
	f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.		20.	Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.		
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.		21.	Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)		
	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)				

Instructions for Department of Education Supplemental Information for Standard Form 424

1. Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

2. Novice Applicant. Check “Yes” or “No” only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check “Yes” if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.” By checking “Yes” the applicant certifies that it meets these novice applicant requirements. Check “No” if you do not meet the requirements for novice applicants.

3. Human Subjects Research. (See I. A. “Definitions” in attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.”)

If Not Human Subjects Research. Check “No” if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 3 are then not applicable.

If Human Subjects Research. Check “Yes” if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check “Yes” even if the research is exempt from the regulations for the protection of human subjects. (See I. B. “Exemptions” in attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.”)

3a. If Human Subjects Research is Exempt from the Human Subjects Regulations. Check “Yes” if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I. B. “Exemptions.” In addition, follow the instructions in II. A. “Exempt Research Narrative” in the attached page entitled “Definitions for Department of Education Supplemental Information for SF 424.”

3a. If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II. B. “Nonexempt Research Narrative” in the page entitled “Definitions for Department of Education Supplemental Information for SF 424.”

3a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) on file with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the SF-424, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, Potomac Center Plaza, 550 12th Street, S.W. Room 7076, Washington, D.C. 20202-4260.

Definitions for Department of Education Supplemental Information for Standard Form 424

Definitions:

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program that is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that*

person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met. [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 3 of Department of Education Supplemental Information for SF 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative. Insert the narrative(s) in the space provided. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address.

A. Exempt Research Narrative.

If you marked “Yes” for item 3 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 3 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) Human Subjects Involvement and Characteristics:

Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental

disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site: <http://www.ed.gov/about/offices/list/OCFO/humansub.html>

NOTE: The **State Applicant Identifier** on the SF 424 is for State Use only. Please complete it on the OMB Standard 424 in the upper right corner of the form (if applicable).

Instructions for Department of Education Budget Information – Non-Construction Programs (ED Form 524)

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked “yes” in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check “Other,” specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Budget Narrative [Attach separate sheet(s)]
Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by your indirect cost rate. For example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at: <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>. You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0004. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

Instructions for Disclosure of Lobbying Activities (Standard Form LLL)

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

- 1) Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
- 2) Identify the status of the covered Federal action.
- 3) Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
- 4) Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
- 5) If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
- 6) Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
- 7) Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
- 8) Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
- 9) For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
- 10) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
- 11) The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

Application Checklist

Application for Federal Assistance (SF 424) is completed according to the instructions and includes the nine-digit **D-U-N-S Number and Tax Identification Number**. (Refer to page 54)

All required forms are signed in black or blue ink and dated by an authorized official and the signed original is included with your submission.

(For hard-copy submissions) One signed original and two copies of the application, including all required forms and appendices plus one voluntarily submitted additional copy, are included. All copies are unbound and each page is consecutively numbered. **Submit this completed checklist with your application package.**

Deadline Date: February 26, 2010. See Sections II and IV for complete application transmittal instructions and general application information and forms.

Please note, if you are submitting your application electronically, the Department's e-Grants Web site will be unavailable from February 10-15, 2010 because of upgrades to our system. This means that you will not be able to work on-line to complete your forms or upload your narrative sections and submit your final application electronically to the Department during this time. You will have to wait until the system is available again on February 16, 2010 to do so. Our recommendation is that you download a copy of the application before February 10, 2010 so that you will have the information you need to work on developing your narrative sections while the system is unavailable. We will not grant an extension to the submission deadline because of the system unavailability during February 10-15, 2010.

EACH COPY OF THE APPLICATION MUST INCLUDE THE FOLLOWING:

- ☐ Application for Federal Assistance (Standard Form 424) - Page 1
- ☐ Department of Education Supplemental Information Form for the Standard Form 424
- ☐ Project Abstract (one page maximum) – Page 2
- ☐ Project Narrative (up to 25 pages double-spaced, font size 11)
- ☐ All applications must include the required forms, assurances, and certifications, including:
 - ☐ Budget Information Form (ED Form 524) and a detailed budget narrative for each year of funding requested up to 3 years.
 - ☐ Assurances - Non-Construction Programs (Standard Form 424B)
 - ☐ Certification Regarding Lobbying (formerly ED 80-0013)
 - ☐ Disclosure of Lobbying Activities (Standard Form–LLL)
 - ☐ Program Specific Assurances (refer to page 32)
- ☐ Letter to the State Single Point of Contact, if applicable (refer to pages 34 and 57)
- ☐ Narrative response must be submitted to GEPA 427 (refer to pages 57-58)

- ❑ Proof of federally negotiated **restricted** indirect cost rate, if claiming indirect costs (refer to page 33)
- ❑ Resumes of key personnel or position descriptions

Note: For hard copy submissions, grant application forms may be accessed at <http://www.ed.gov/fund/grant/apply/appforms/appforms.html>